

01-15-02

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U.S. Express Mail No.: ET786658697US  
Attorney Docket No.: YP-001.C1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**PATENT APPLICATION TRANSMITTAL LETTER**

In Re Patent Application Of:  
Young Park

Art Group: 1732  
(Parent Application)

Application No.: Not Yet Assigned

Examiner: G. Cantelmo  
(Parent Application)

Filing Date: November 7, 2001

Title: HIGH THROUGHPUT THIN FILM  
DEPOSITION AND SUBSTRATE  
HANDLING METHOD AND APPARATUS  
FOR OPTICAL DISK PROCESSING

Attorney Docket No.:  
YP-001.C1

November 7, 2001

**CERTIFICATE OF MAILING UNDER 37 CFR § 1.10**

**"U.S. EXPRESS MAIL" MAILING LABEL NUMBER : ET786658697US**

**DATE OF DEPOSIT: November 7, 2001**

I hereby certify that this application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 having the MAILING LABEL NUMBER referenced above, addressed to the Commissioner for Patents, Box Patent Application, Washington, DC 20231 on the DATE OF DEPOSIT referenced above.

Shirley L. Church (Signature)

By: Shirley L. Church, Reg. No. 31,858 (Type Name)

Signature Date: November 7, 2001

**CONTINUATION APPLICATION TRANSMITTAL LETTER**

**BOX: Patent Application**

Commissioner for Patents

Washington, DC 20231

Sir:

Applicant hereby files a [X] continuation [ ] divisional [ ] continuation-in-part application under 37 CFR § 1.53(b) of the prior complete application identified below.

## IDENTIFICATION OF PRIOR COMPLETE APPLICATION

Title: As originally filed - HIGH THROUGHPUT THIN FILM DEPOSITION AND  
SUBSTRATE HANDLING METHOD AND APPARATUS  
FOR OPTICAL DISK PROCESSING

Application Number: 09/542,799

Filing Date: April 4, 2000

Inventors: Young Park

Enclosed is a copy of the original, first, prior complete application, including a copy of the oath or declaration showing the signature of the inventors. The enclosed papers are a true copy of the prior complete application as filed, including the specification, claims, drawings and signed oath or declaration, and any amendments referred to in the oath or declaration filed to complete the prior application.

## INVENTORS

1. ☒ The inventor of the present application is the same as in the prior complete application.
2. ☐ The inventor(s) of the present application have been changed to include the following named inventor(s): \_\_\_\_\_
  - a. ☐ It is requested that the following persons be deleted as inventor(s) in the present application: \_\_\_\_\_
  - b. ☐ The present application is a continuation-in-part of the prior complete application, and an oath or declaration as required under 37 CFR § 1.63 accompanies this paper.

## AMENDMENTS

3. ☐ Enter the amendment previously filed under 37 CFR § 1.116, but unentered, in the prior application.
4. ☒ A preliminary amendment is enclosed.

5. ☒ Amend the specification by inserting before the first line the sentence: This application is a continuation application of Application Serial No. 09/542,799, filed April 4, 2000, currently pending, which claims priority under U.S. Provisional Application No. 60/144,602, filed July 19, 1999. --

6. ☒ The title in the present application is as follows: HIGH THROUGHPUT THIN FILM DEPOSITION AND SUBSTRATE HANDLING METHOD AND APPARATUS FOR OPTICAL DISK PROCESSING.

#### INTERNATIONAL PRIORITY

7. ☐ Priority of Application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, in \_\_\_\_\_(country) is claimed under 35 USC § 119.
8. ☐ The certified copy of the priority application:  
☐ is enclosed;  
☐ was filed on \_\_\_\_\_ in prior Application Serial No. \_\_\_\_\_; filed on \_\_\_\_\_;  
☐ has not yet been filed.

#### PRIORITY UNDER 35 USC § 120

9. ☒ Applicants hereby claim priority under 35 USC § 120, wherein the priority applications are Serial Nos. 09/542,799 and 60/144,602.

#### ATTORNEY OR AGENT OF RECORD

10. ☒ The power of attorney in the prior application is to: Shirley L. Church (Reg. No. 31,858) and Philip J. McCabe (Reg. No. 27,658).
- a. ☒ The power appears in the original papers in the prior application.  
b. ☐ Since the power does not appear in the original papers, a copy of the power in the prior application is enclosed.
11. ☒ A copy of the Declaration & Power of Attorney is enclosed.
12. ☐ A new Power of Attorney is enclosed.

**OTHER**

13. ☒ Also enclosed: Copy of Statement Claiming Small Entity Status under 37 CFR § 1.27.
14. ☒ Cancel in this application Claims 2, 3, 6, 18, and 24 of the prior application before calculating the filing fee. (At least one independent claim must be retained for filing purposes.)
15. ☐ Cancel in this application all claims of the prior application and substitute the claims contained in the attached Preliminary Amendment prior to calculating the filing fee.
16. ☐ Add the additional claims in the attached Preliminary Amendment prior to calculating the filing fee.

**FEES DUE**

17.

	NO. OF CLAIMS		EXTRA CLAIMS	RATE	FEE
Basic Application Fee					\$ 370.00
Total Claims	21	MINUS 20 =	1	x \$9 =	9.00
Independent Claims	5	MINUS 3 =	2	x \$42 =	00.00
If multiple dependent claims are presented, add \$270.00					00.00
Recordation of Assignment document					00.00
TOTAL APPLICATION FEE DUE					\$379.00

18. ☐ A Petition for Extension of Time to respond to the outstanding official action in the prior application, up to and including the filing date of the present application, is enclosed, the fee for which is \$\_\_\_\_\_.
19. ☒ New drawings are enclosed (☒ formal ☐ informal)

**PAYMENT OF FEES**

20. The full fee due in connection with this communication is \$ 379.00, and is provided as follows:
- a. ☒ Check No. 5243 in the amount of \$ 379.00 is enclosed.
  - b. ☐ The Commissioner is hereby authorized to charge the filing fee of \$ \_\_\_\_\_ to Deposit Account No. 50-1512 of Shirley L. Church, Sunnyvale, California.
  - c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be due under 37 CFR § 1.16 and § 1.17, which are required by this paper, and to credit any overpayment, to Deposit Account No. 50-1512 of Shirley L. Church, Sunnyvale, California.

This transmittal letter is submitted in duplicate.

**CORRESPONDENCE ADDRESS**

Address all future communications to:

Shirley L. Church, Esq.  
P.O. Box 61929  
Sunnyvale, CA 94088

Respectfully submitted,

Date: November 7, 2001

By: Shirley L. Church  
Shirley L. Church, Esq.  
Registration No.: 31,858



Shirley L. Church, Esq.  
P.O. Box 61929  
Sunnyvale, CA 94088

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Young Park  
SERIAL NO.: Not yet assigned  
FILING DATE: November 7, 2001  
DOCKET NO.: YP-001.C1  
FOR: HIGH THROUGHPUT THIN FILM DEPOSITION  
AND SUBSTRATE HANDLING METHOD AND  
APPARATUS FOR OPTICAL DISK HANDLING

The date stamp of the mail room of the U.S. Patent and Trademark Office hereon will acknowledge receipt of: Continuation Application of U.S. Application Serial No. 09/542,799, including 26 pages of Specification, 4 pages of Claims, 1 page of Abstract, and 3 sheets of Informal Drawings; 3 sheets of Formal Drawings (in duplicate); Preliminary Amendment "A"; 1 sheet of marked-up, amended drawings; Copy of Statement Claiming Small Entity Status; Copy of Declaration & Power of Attorney in parent application; Transmittal Letter (in duplicate); Fee; and Certificate of Mailing; mailed by U.S. Express Mail No. ET786658697US, addressed to the Commissioner for Patents, Box Patent Application, Washington, DC 20231, on November 7, 2001.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Young Park et al.

SERIAL NO.: Unknown

FILED: November 7, 2001

FOR: HIGH THROUGHPUT THIN FILM DEPOSITION  
AND SUBSTRATE HANDLING METHOD AND  
APPARATUS FOR OPTICAL DISK HANDLING

§ GROUP ART UNIT: 1732

§ (Parent Application)

§

§ EXAMINER: G. Cantelmo

§ (Parent Application)

§

§

§ Attorney Docket No.:

§ YP-001.C1

Date: January 7, 2002

**STATEMENT UNDER 37 CFR § 1.8(b)(3)**

**Hon. Commissioner for Patents  
Washington, DC 20231**

Sir:

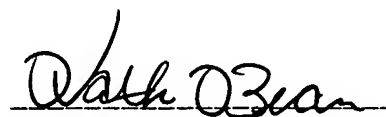
The undersigned agent hereby states, based on her personal knowledge, that the enclosed Continuation application of U.S. Application Serial No. 09/542,799 was originally filed in the U.S. Patent and Trademark Office on November 7, 2001. All of the documents listed on the enclosed Continuation application transmittal letter were originally submitted to the U.S. Patent and Trademark Office on November 7, 2001.

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**CERTIFICATE OF MAILING UNDER 37 CFR § 1.10**

I hereby certify that this paper and any documents said to accompany this paper are being deposited with the U.S. Postal Service on the date shown below with sufficient postage as U.S. EXPRESS MAIL NO. EU092830240US in an envelope addressed to the: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Date: January 7, 2002

  
Kathi Bean, Reg. No. 36,644

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A mailing date of November 7, 2001 is clearly shown on the enclosed copy of U.S. Express Mail Label No. ET786658697US, under which the subject Continuation application was filed. U.S. Express Mail Label No. ET786658697 and the November 7, 2001 date of deposit are also clearly shown on the enclosed copy of the application transmittal letter which accompanied the filing of the subject Continuation application.

Based on the enclosed documentation, applicants hereby request that the subject application be accorded a filing date of November 7, 2001.

Respectfully Submitted,

A handwritten signature in dark ink, appearing to read 'Kathi Bean', is written over a horizontal line.

Kathi Bean  
Registration No. 36,644  
Agent for Applicants  
(408) 245-5439

Correspondence Address:  
Shirley L. Church, Esq.  
P.O. Box 61929  
Sunnyvale, CA 94088



**SHIRLEY L. CHURCH, ESQ.**  
**1230 OAKMEAD PARKWAY, SUITE 216, SUNNYVALE, CA 94086**  
**TELEPHONE (408) 245-5109 TELEFAX (408) 245-1775**

**FACSIMILE TRANSMITTAL SHEET**

TO:	<b>Santissa Inman</b>	FROM:	<b>Shirley L. Church</b>
COMPANY:	<b>U.S. Patent &amp; Trademark Office</b>	DATE:	<b>February 22, 2002</b>
FAX NO.	<b>(703) 305-9822</b>	NO. PAGES, INC. COVER:	<b>6</b>
PHONE NO.	<b>(703) 308-0910</b>	SENDER'S REF. NO.:	<b>YP-001.C1</b>
RE:	<b>Serial No. 10 / 045,849 Reference # 26</b>	RECIPIENT'S REF. NO.:	

☐ Urgent ☐ For Review ☐ Please Comment ☐ Please reply ☐ Confirming Copy by Mail

Notes/Comments:

Dear Santissa:

Following this cover letter are the copies of the damaged pages for the subject patent application. These pages include Page 30 of the application; Page 31 (The Abstract) and the three pages of Formal Drawings.

If you have any questions, please do not hesitate to contact me.

With best regards,

*Shirley L. Church*  
Shirley L. Church

CONFIDENTIALITY NOTICE: THE INFORMATION CONTAINED IN THIS FACSIMILE TRANSMISSION, INCLUDING ANY ATTACHMENTS, IS SUBJECT TO THE ATTORNEY-CLIENT PRIVILEGE, THE ATTORNEY WORK PRODUCT PRIVILEGE OR IS CONFIDENTIAL. INFORMATION INTENDED ONLY FOR THE USE OF THE NAMED RECIPIENT. IF THE READER OF THIS NOTICE IS NOT THE INTENDED RECIPIENT OR THE EMPLOYEE OR AGENT RESPONSIBLE FOR DELIVERING THIS TRANSMISSION TO THE INTENDED RECIPIENT, WE HEREBY NOTIFY YOU THAT ANY USE, DISSEMINATION, DISTRIBUTION OR COPYING OF ALL OR PART OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU RECEIVED THIS TRANSMISSION IN ERROR, PLEASE IMMEDIATELY NOTIFY US BY TELEPHONE (408) 245-5109 OR TELEFAX (408) 245-1775, SO THAT WE MAY ARRANGE FOR ITS RETURN OR DESTRUCTION AT OUR COST.

JC971 U.S. PRO  
10/045849  
11/07/01

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR**

Applicant, patentee, or identifier: Young Park

Application or Patent No.: \_\_\_\_\_

Filed: March 4, 2000

Title: HIGH THROUGHPUT THIN FILM DEPOSITION AND SUBSTRATE HANDLING  
METHOD AND APPARATUS FOR OPTICAL DISK PROCESSING

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

X the specification filed herewith with title as listed above.

\_\_\_\_\_ the application identified above.

\_\_\_\_\_ the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(c) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

X No such person, concern, or organization exists.

\_\_\_\_\_ Each such person, concern, or organization is listed below.

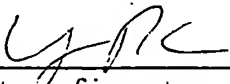
Separate statements are required from each named person, concern, or organization having right to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States

Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Young Park  
NAME OF INVENTOR

  
Signature of inventor

4/4/00  
Date

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Young Park

SERIAL NO.: Unknown

FILED: November 7, 2001

FOR: HIGH THROUGHPUT THIN FILM DEPOSITION  
AND SUBSTRATE HANDLING METHOD AND  
APPARATUS FOR OPTICAL DISK HANDLING

§ GROUP ART UNIT: 1732  
§ (Parent Application)  
§  
§ EXAMINER: G. Cantelmo  
§ (Parent Application)  
§  
§ Attorney Docket No.:  
§ YP-001.C1

Date: January 7, 2002

**DUPLICATE COPY OF PREVIOUSLY SUBMITTED CONTINUATION APPLICATION  
STATEMENT UNDER 37 CFR § 1.8(b)(3)  
TRANSMITTAL LETTER**

**Hon. Commissioner for Patents  
Washington, DC 20231**

Sir:

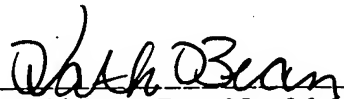
Transmitted herewith is a duplicate copy of applicants' Continuation application under 37 CFR § 1.53(b) of U.S. Patent Application Serial No. 09/542,799. The subject Continuation application was previously filed with the U.S. Patent and Trademark Office on November 7, 2001, as evidenced

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**CERTIFICATE OF MAILING UNDER 37 CFR § 1.10**

I hereby certify that this paper and any documents said to accompany this paper are being deposited with the U.S. Postal Service on the date shown below with sufficient postage as U.S. EXPRESS MAIL NO. EU092830240US in an envelope addressed to the: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Date: January 7, 2002

  
Kathi Bean, Reg. No. 36,644

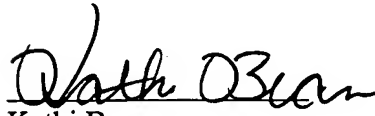
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by the enclosed documentation. Applicants have not yet received either the return postcard which was submitted with the application or a Filing Receipt from the U.S. PTO. Applicants are concerned that the subject Continuation application has not been received by the PTO as a result of recent U.S. Postal Service delays. Therefore, applicants are resubmitting all documents which were submitted with the filing of the Continuation application on November 7, 2001.

Also transmitted herewith is a Statement under 37 CFR § 1.8(b)(3), stating that all of the documents listed on the enclosed Continuation application transmittal letter were originally submitted to the U.S. Patent and Trademark Office on November 7, 2001, and requesting that the subject application be accorded a filing date of November 7, 2001.

Applicants do not believe that any fee is due in connection with the resubmission of the subject Continuation application. Check No. 5243, in the amount of \$ 379.00, in payment of the filing fee for the subject Continuation application, was enclosed in the original submission of the subject application. However, if this check has not been received by the U.S. PTO, the Commissioner is hereby authorized to charge the application filing fee, as well as any additional fees which may be due, and to credit any overpayment, to Deposit Account No. 50-1512 of Shirley L. Church, Sunnyvale, California, as set forth on the enclosed copy of the Continuation application transmittal letter mailed November 7, 2001.

Respectfully Submitted,

A handwritten signature in black ink, appearing to read "Kathi Bean", written over a horizontal line.

Kathi Bean

Registration No. 36,644

Agent for Applicants

(408) 245-5439

Correspondence Address:  
Shirley L. Church, Esq.  
P.O. Box 61929  
Sunnyvale, CA 94088